



Guidance

Teachers & Staffing

Performance Management in Schools

Performance Management Framework

**Headteachers,
Teachers & Governors**

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Introduction

These guidelines describe the Performance Management system which comes into statutory force from September 2000. Schools will be asked to review existing arrangements for monitoring and for appraisal in the light of the new arrangements and agree a new performance management policy.

Performance management demonstrates schools' commitment to develop all teachers effectively to ensure job satisfaction, high levels of expertise and progression of staff in their chosen profession. Effective performance management helps teachers to meet the needs of children and raise standards. These guidelines build on ways of working which schools have found effective. They benefit from many helpful suggestions received from the profession in their development, and reflect extensive consultation with headteachers, teachers and their representatives.

How Performance Management can help

Performance management is a way of helping schools improve by supporting and improving teachers' work, both as individuals and in teams. It sets a framework for teachers and their team leader¹ to agree and review priorities and objectives within the overall framework of schools' development plans. It focuses attention on more effective teaching and leadership to benefit pupils, teachers, and schools.

There is strong evidence that where schools and individual teachers are clear about what they expect pupils to achieve, standards rise. That is why the Government has made performance management a key part of the Teachers' Green Paper proposals.

There are two major benefits:

First, pupils will benefit because their teachers will have a more sharply focused picture of what, with encouragement, support and high expectations, their pupils can achieve.

Second, teachers will benefit. Teachers have the right to expect that their performance will be regularly assessed and that they will have a proper opportunity for professional discussion with their team leader about their work and their professional development.

Target setting, monitoring and evaluation arrangements are well established in many schools. Some schools have seen it as an obvious next step to agree objectives with teachers and develop teachers' skills to achieve them.

Existing best practice is characterised by:

- a commitment to the attainment and welfare of pupils at their school;
- an appreciation of the crucial role that teachers play;
- an atmosphere of trust between teacher and team leader, which allows them to evaluate strengths and identify areas for development;
- encouragement to share good practice; and
- the integration of performance management with the overall approach to managing the school.

Teachers work in different types of teams such as pastoral or curriculum teams. The head may be the team leader for all school staff in a small school or team leader of the senior management team in a larger school. Schools will want to consider which team groupings to use for purposes of performance management: the team leader should normally be the teacher who has the best overview of a teacher's work. Where a team is too large for the leader to be the reviewer for all the team, the task could be shared with others who hold significant management posts within the team.

¹ In this framework the term 'team leader' refers to a teacher who has the best overview of the teacher's work and is able to support staff. The team leader is normally the person who will carry out the review.

How Performance Management works best

Performance management works best when it is an integral part of a school's culture; is seen to be fair and open; understood by everyone and based on shared commitment to supporting continuous improvement and recognising success.

This means:

- **raising standards:** looking at the way schools work to provide the best possible education for their pupils and planning the work of individual teachers in that context;
- **continuous professional development:** promoting professional growth, identifying and taking account of teachers' individual development needs;
- **involvement:** encouraging teachers to be fully engaged in school planning and to control the development of their own work and to support each other;
- **manageability:** so that performance management is regarded as an integral and essential part of how schools operate;
- **equity:** to ensure policies and processes are open and fair, while respecting confidentiality for individuals.

Preparing a School Performance Management Policy

All schools need a written and agreed performance management policy so that everyone in the school community understands how performance management works and what their responsibilities and rights are within it. Few – if any – schools will need to start from scratch but can draw on arrangements already in place for setting school targets, monitoring and appraisal. Schools which are Investors in People are likely to find that very little alteration is needed.

Annex A describes the key steps in performance management. It will be for governors and headteachers to agree in the school policy exactly how these will be put into effect. Headteachers and governors should involve all teaching staff in developing the policy so that they know how it will help them do their jobs well and raise standards. The policy should set out clearly where responsibilities lie for individuals' performance management.² Annex B gives some examples of how schools have planned for their reviews.

The policy should be fair, treat all teachers consistently and be simple to operate and implement.

A model policy is available based on examples of good practice and the statutory Regulations relevant to underpinning the performance management system.

The policy should encourage teachers to share good practice and build up a shared understanding of teaching skills.

² The regulations apply only to teaching staff. However, it is open to schools to develop policies for their entire staff if they wish to do so.

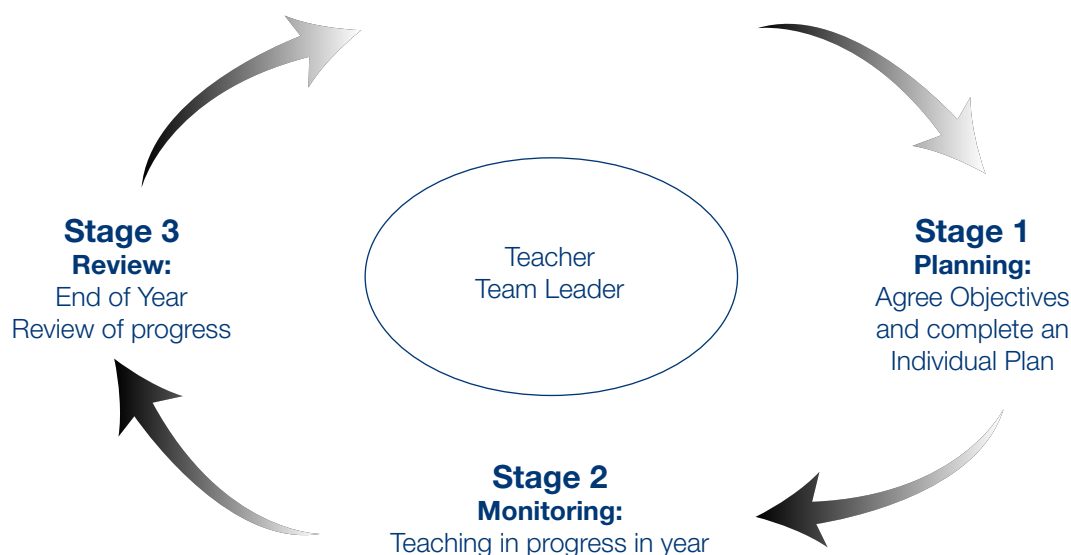
The model policy is designed to help schools apply the Regulations. At the end of each section of the model policy the boxed information shows those aspects of the policy which are based on the performance management Regulations and which should be included in the school’s own policy. The model policy also contains information which is recommended.

The Performance Management cycle

Performance Management is an ongoing cycle, not an event. It involves three stages:

- **Planning:** team leaders discuss and record priorities and objectives with each of the teachers in their team. They discuss how progress will be monitored.
- **Monitoring:** the teacher and team leader keep progress under review throughout the cycle, taking any supportive action needed.
- **Review:** the teacher and the team leader review achievements over the year and evaluate the teacher’s overall performance taking account of progress against objectives.

The cycle³ should take place over one year, linking with the school’s planning for school management and target setting. The precise timing of the cycle is a matter for discussion and agreement within each school. The head will need to consider workload implications and how the cycle fits best with the schools’ other planning arrangements. After the first year future planning should flow naturally from the previous year’s review.



³ Except in the first year, when headteachers have the option of setting a cycle of between 9 and 18 months for teachers only.

Stage 1: Planning

Each teacher and team leader should agree at the start of the review cycle what should be the focus of the teacher's work during the year.

The starting point should be a clear job description; eg. *"Head of the English Department, accountable to the head for managing and leading a team of eight to teach English throughout the school"*.

The next step is to discuss the teacher's priorities, the needs of the pupils and personal priorities, and to agree specific objectives for the coming year. The focus of this discussion should be the progress of pupils in its widest sense and the way the teacher can best engage and stretch pupils through his or her teaching. The School Development Plan will provide important background as will any departmental plans and information about the prior attainment of the pupils.

Agreeing objectives does not mean itemising every activity but picking out key expectations and yardsticks. Objectives will need to cover pupil progress as well as ways of developing and improving teachers' professional practice. These discussions should be set in the context of broader school plans. Annex C gives some examples of how objectives for individual teachers might be formulated.

Objectives need to be clear and concise about what is to be achieved. They should be challenging – neither too comfortable nor dauntingly unrealistic. They should be flexible as they may need amending or replacing in-year. Where they span more than one year it will be helpful to identify milestones to assess progress at the performance review.

There can be no hard and fast rule about how many objectives should be agreed by a teacher. More than five or six might suggest that activities are being identified rather than objectives; fewer than three would look very odd for objectives to cover pupil progress and professional practice.

The team leader's role is to ensure that:

- each teacher understands what his or her objectives involve, is in a position to achieve them, and understands when and how they will be reviewed;
- where it is likely that factors outside a teacher's control may affect the achievement of objectives, this is discussed with the teacher at the outset; and
- the individual teacher's objectives relate to the objectives in the school development plan.

A teacher's **Individual Plan**, agreed with the team leader, records the teacher's responsibilities and objectives as a basis for the performance review. A suggested form is included with the model policy.

Professional development forms an integral part of the performance management process and needs to support agreed objectives, to develop strengths and address areas for development or professional growth. The development page of the Individual Plan records agreed action.

Stage 2: Monitoring Progress

Effective management means paying continuous attention to progress during the year. It also entails a commitment to staff development. Schools may already use a variety of methods to monitor progress, such as short informal discussions and classroom observation. The teacher and the team leader discuss supportive action needed and ensure that the development page of the Individual Plan is kept up-to-date.

Classroom observation is accepted good practice. Whatever approach is used, the process of classroom observation should be set out clearly. Many schools find it useful to use a standard pro-forma. A suggested form is included with the model performance management policy. In planning observation, it is important to bear in mind that:

- successful observation requires preparation and training, and a clear understanding on the part of the teacher and the team leader of why the observation is happening;
- the nature of the observation will depend on its purpose. To be worthwhile, it needs to be structured in a way that enables the observer to focus on areas agreed beforehand;
- it is important that the observer ensures that the lesson proceeds in as normal an atmosphere as possible; and
- full, constructive and timely feedback offers an opportunity to discuss what went well, what might be done differently or better next time.

Stage 3: Reviewing Performance

A performance review is an opportunity for teacher and team leader to reflect on the teacher's performance in a structured way, to recognise achievements and to discuss areas for improvement and professional development. It is all the more valuable if the teacher has reflected in advance on the work of the year, on strengths and achievements and on areas for development.

The focus of the review should be on how to raise performance and improve effectiveness. It should involve:

- **reviewing, discussing and confirming the teacher's essential tasks, objectives and standards;**
- **recognising the teacher's strengths and achievements;**
- **confirming action agreed with the teacher during informal in-year discussions;**
- **identifying areas for development and how these will be met; and,**
- **recognising personal development needs.**

The team leader should make a professional judgement about the overall effectiveness of the teacher, with the individual objectives as a focus. They should take account of the stage the teacher is at in his or her career eg newly-qualified teacher or advanced skills teacher.

The statement recording the outcome of the review meeting should be brief, whilst giving a sound basis for future review. The statement should be written as soon as possible after the review.

If a teacher is dissatisfied with aspects of his or her review, the issue can be raised with the head. Where the head is the team leader, the teacher can raise the issue with the Chair of Governors.

If a headteacher is dissatisfied with aspects of his or her review, the issue can be raised with the Chair of Governors. Where the Chair of Governors has been involved in the review process, the governing body should appoint one or more governors who have not participated in the initial review.

A review of the process takes place and a decision is made by the review officer to either retain the existing review statement, amend part of the statement or to request that part or all of the review is repeated. Where a new review or part review takes place new governors are appointed for the head's review. For teachers, the headteacher appoints a new team leader.

The outcomes of performance review will be used to inform pay decisions, for example for awarding double performance increments for outstanding performance up to the performance threshold, and for awarding discretionary performance pay points above the threshold, for Advanced Skills Teachers and teachers in the leadership group. Information from performance reviews will provide evidence for assessment at the performance threshold.

Roles and responsibilities

The **head** is responsible for implementing the school's performance management policy and ensuring performance management reviews take place, including those for teachers for whom he or she is team leader. The governing body may also ask the head to draft the policy. The head will also:

- **ensure that other team leaders carry out their responsibilities, and, where relevant, take account of teachers' performance reviews in making recommendations to the governing body about teachers' pay;**
- **ensure Individual Plans and standards are agreed for all teachers and that professional development is targeted;**
- **ensure monitoring of teaching takes place and that feedback allows the teacher to both reflect on his or her performance and to participate fully in the discussion.**

The **governing body's** role is strategic. The context for the policy is set by the school's development plan which is agreed by the governing body. The governing body is responsible for agreeing the school's performance management policy, for ensuring that the performance of teachers at the school is regularly reviewed and for monitoring the Performance Management process. It does not have a role in gathering evidence or making judgements about individual teachers.

In addition, the governing body has a duty to review the head's performance, with the support from September 2000 of a trained external adviser. The governing body decides on the exact timing of the head's performance review cycle and appoints two or three governors to carry out the performance review. Teacher and other staff governors should not participate in decisions about how to review the head's performance, nor in the review process itself.

The **external adviser's** main role will be to provide high quality and focused advice to the governing body representatives on the setting of performance objectives for the head and assessing the extent to which the head has achieved them. The external adviser will support the governing body by attending meetings at which the head's objectives and overall assessment of performance are discussed.

Before the review meeting, the adviser will consider contextual material provided by the governing body to establish what information is available and what more may be needed. A short initial discussion may be needed between the governing body representatives and the external adviser to plan for the review meeting with the headteacher. Information for the headteacher's review should all be available from normal management and planning activities. The principles underlying the review of headteachers' performance will be the same as for teachers.

Equal Opportunities

Fairness and consistency of judgement are essential in any Performance Management system. Each school needs to ensure that all teachers have equality of opportunity to achieve their full potential and are not discriminated against when agreeing objectives and assessing performance. Each school needs to ensure that teachers are not discriminated against because of age, disability, gender, nationality, race, religion, or are treated unfairly because they work part-time or are union representatives.

It is important to be aware of the potential for unconscious discrimination, to avoid assumptions about individuals based on stereotypes and to use the performance management arrangements actively to encourage all teachers to achieve their full potential.

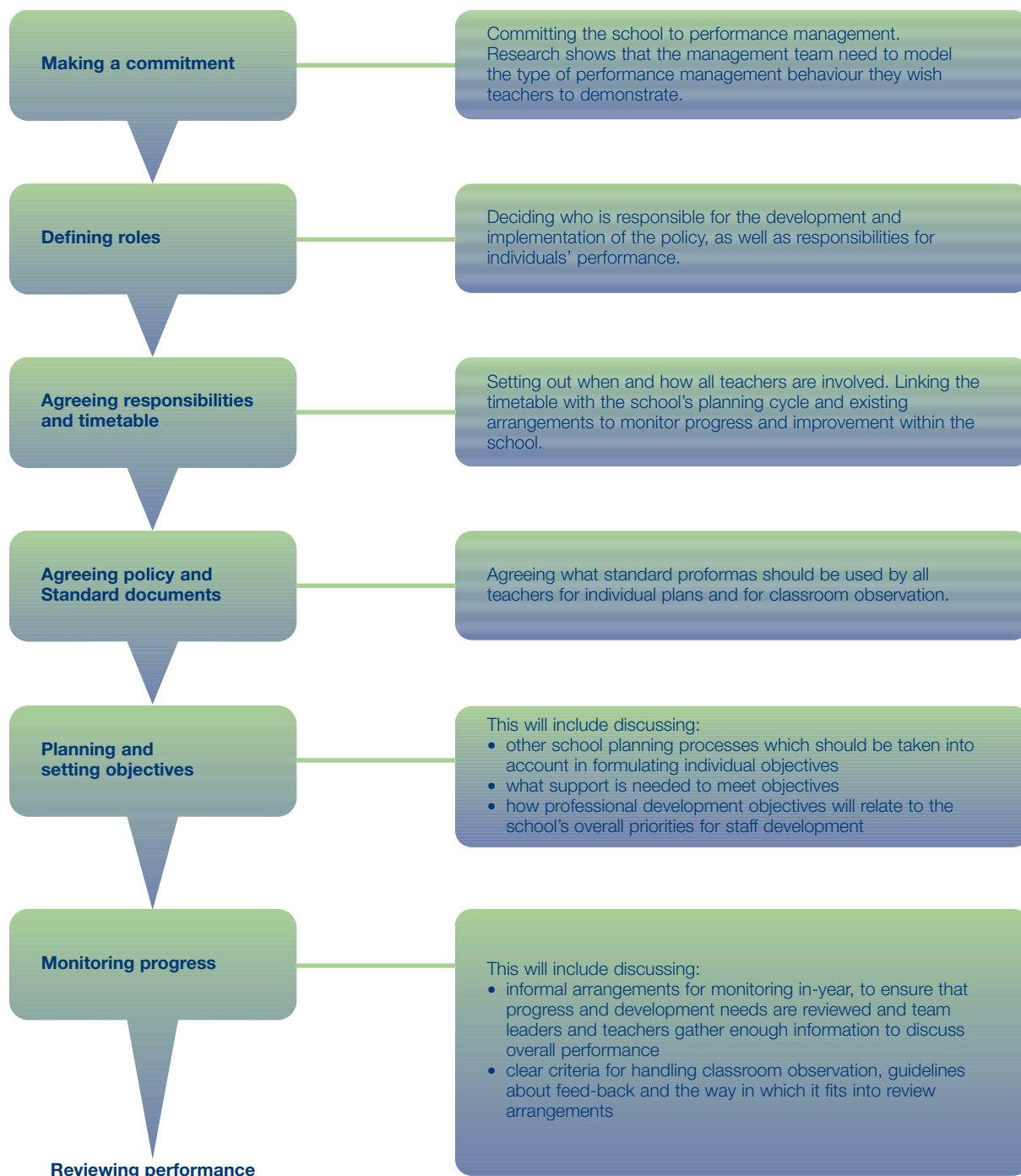
Managing Weak Performance

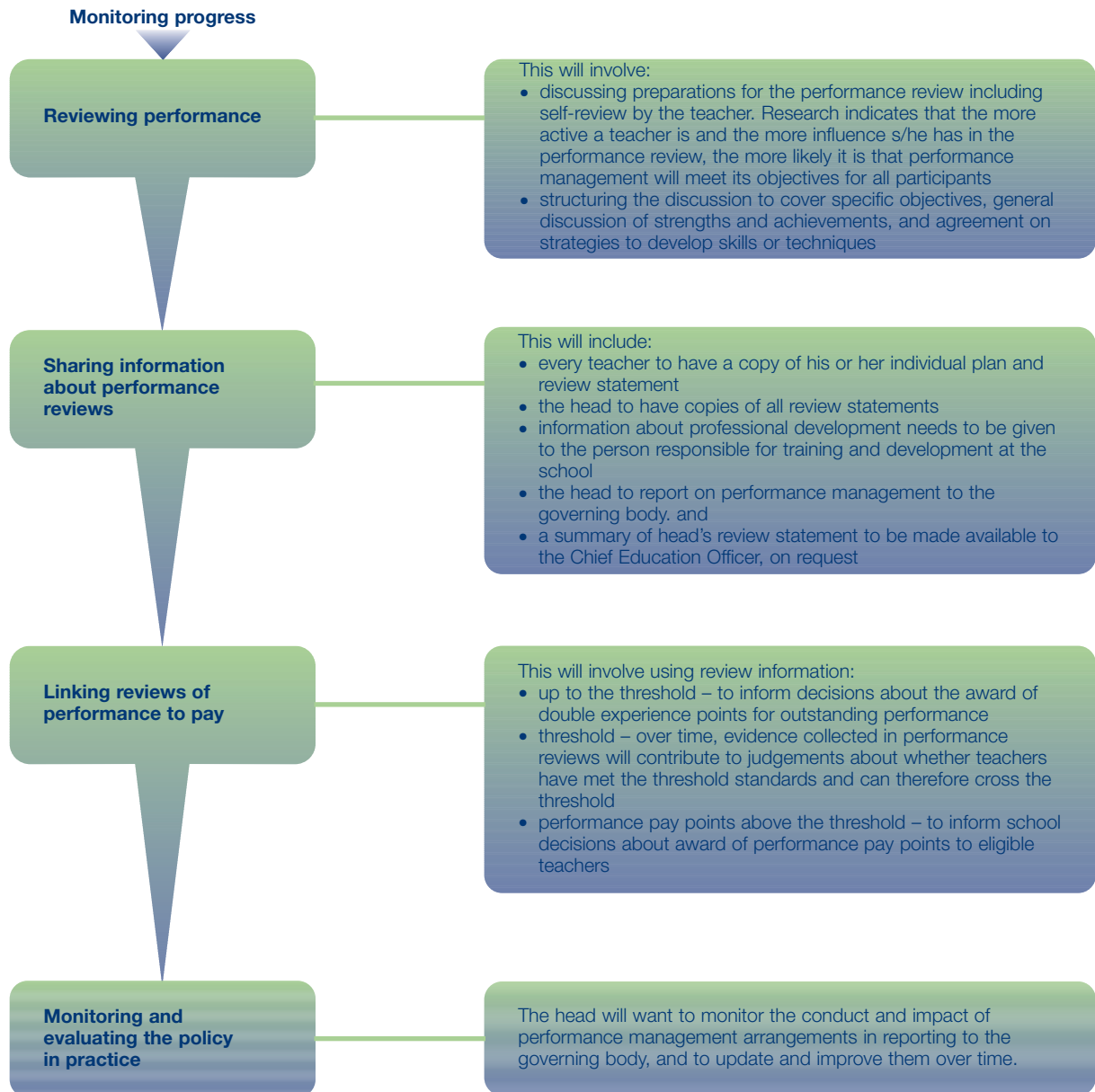
Good management, with clear expectations and appropriate support will go a long way towards identifying and handling any weaknesses in performance.

Performance review does not form a part of disciplinary or dismissal procedures. Capability procedures are already the subject of a separate national agreement. However, where information from the review, taken with other material, gives rise to concern about the capability of a teacher, it may lead to a decision to investigate and record performance more intensively. Where a decision is taken to enter into a formal capability procedure, that procedure supersedes performance management arrangements.

Annex A

Key Steps in Performance Management





Annex B – Planning the Review Cycle

These examples are designed to help schools in the planning of review cycles. They illustrate planning and allocation of responsibilities at different sizes and types of schools. The principles illustrated in these examples could be adapted as necessary.

1. Primary school with 225 pupils on roll and a teaching complement of 8 FTE teachers, including the head.

The staff, including non-teaching staff, are divided into three teams: resources and finance team led by the head; curriculum led by the deputy head and personnel led by the senior teacher. Each team leader reviews everyone in their team, both teaching (up to 4 staff) and non-teaching staff. Classroom observations are carried out termly. The school carries out an audit for each child to help measure pupil progress. Each teacher is set an objective for pupil progress and this audit information helps to measure their success over the year. The annual review takes place in October each year. To ensure quality assurance of reviews, each team leader reviews another team on a rolling cycle.

2. Middle school, which has just under 500 pupils. It has a teaching complement of 32 FTE teachers, including the head and no deputies.

The head reviews his three assistant heads and his five faculty heads. His teaching load is 20%. The school has five faculties with 3 or 4 teachers in them, and the head of each faculty carries out those performance reviews. The remaining 6 individual teacher reviews are by the Assistant Heads.

3. Denominational secondary school with some 1000 pupils on roll and a teaching complement of 62.5 FTE teachers, including the head.

The senior management team comprises the head, 3 deputies and 3 senior teachers. The school is structured on traditional subject lines. There are some 18 heads of department and 2 co-ordinators for SEN and Information Technology.

Performance reviews are conducted annually in the autumn term. These reviews are carried out by an individual team leader (usually the head of department). The head reviews the performance of deputies, the deputies/senior teachers conduct the reviews of the heads of department, and the deputies conduct the reviews of the senior teachers. In large departments the responsibility for reviews is divided between the head of department and two teachers with management responsibility. Pastoral heads are reviewed by their respective heads of department, but their reviews include an assessment of their leadership/managerial effectiveness (on the basis of information from relevant colleagues obtained in accordance with school policy).

This system ensures that no single reviewer is required to carry out more than 4 reviews. Reviews focus on personal, departmental and whole school issues and strike an appropriate balance between leadership/responsibility and teaching in respect of an individual's overall contribution to the work of the school. Classroom observation forms an important part of the review process and the developmental outcomes of the reviews and pupil progress are agreed with each teacher.

4. One form entry special school, which has just under 80 pupils. It has a teaching complement of 11 FTE teachers, including the head and deputy.

The head reviews her senior management team which consists of a deputy and two other senior teachers. She also reviews one of the teachers. The head allocates reviews to the deputy and the two senior teachers and they are responsible for either one or two reviews each. In deciding the number of reviews the head takes account of the teaching commitments of the senior teachers. The head carries out reviews in parallel with the new senior teacher in key stage one. This helps to develop senior teachers' skills and gives the head an overview of progress in Key Stage one. The head evaluates the process each year and makes changes as required.

Annex C: Setting Objectives

Objectives would typically emerge from a discussion between team leaders and individual teachers about the priorities for the coming year, and the particular ways in which the teacher can help the pupils he or she teaches. This might involve targeting the progress of a group of pupils which is not meeting expectations or a small number of named pupils. Or it might be a priority to implement new policies or develop approaches or techniques which will help pupil progress, eg. better classroom management skills.

Objectives are expected to cover pupil progress and professional development. Management/leadership objectives are likely to be appropriate for teachers with these responsibilities.

Objectives about **pupil progress** should be based on what is already known about the pupils. The school will already use a number of sources, such as external and internal assessments, PANDAs and benchmarking data, to set targets in the school's development plan. Team leaders will want to discuss with individual teachers how their particular contribution should be focused and formulate the teacher's objective accordingly.

Professional development objectives might include observation of other teachers, mentoring, good practice development and training. The career aspirations of the teacher will help in setting these objectives.

The **scope of objectives** should be appropriate to teachers' job responsibilities: headteachers will have objectives for pupil progress at school level, while heads of subject may look at progress by year group and teachers within departments focus on work with individual cohorts, groups or individuals. They should also be appropriate to teachers' circumstances e.g. part-time working or disability. Teachers and team leaders will want to discuss how the objectives should be achieved and ensure that professional development needs are considered in school planning. Resource implications will need to be taken into account, such as supply cover or costs associated with development activities.

It is good practice for objectives to be **clear and precise** to allow progress to be measured. The exact form will vary: what is important is that the planning discussions are based on an understanding of pupils' prior attainment, that teacher and team leader agree how they will measure progress and that annual reviews involve an assessment of progress actually achieved in the circumstances.

Teachers should never be discouraged for setting **challenging objectives** which are not quite met, or not met for reasons outside the teachers' control. Meeting challenging objectives will be a good way for teachers to show the substantial and sustained performance and help develop their careers. When assessing overall performance, team leaders should consider how challenging the objectives have been. A teacher who has not quite achieved challenging objectives may have contributed as much as, or more, than a teacher who has met less challenging objectives in full.

Objectives must always relate to the situation in the school and the pupils in the teacher's classes. Headteachers and team leaders will need to decide how individual objectives relate to school-level planning. The examples below are illustrative and are designed to show the range of objectives that might be appropriate in different circumstances. Many would be equally applicable to full-time and part-time staff. There will be separate guidance on performance review for head teachers.

Performance Management Objectives: examples

Example 1: Year 5 Primary Classroom Teacher

Professional Development Objectives:

- By the end of the review cycle, to develop the skills and confidence to use ICT in teaching class (use of ICT to be a focus for lesson observation).
- To plan and develop materials for use in the summer term to support whole class teaching of ICT.

In support of the first objective the school might lend a school computer for the teacher to practice ICT skills and lesson planning and ensure access to ICT training through the New Opportunities Fund. The teacher might seek advice from the curriculum leader about technical know-how and lesson planning. For the second objective, the teacher might plan to research support materials on the Internet or to visit a neighbouring technology college to learn from their use of ICT.

Pupil Progress Objective:

- By next year, to increase the percentage to [45%-50%] of the class as a whole that will be able to do virtually all of what the Literacy Framework states that they should be taught over the year (currently 40%).

The teacher would want to discuss with the curriculum leader the reasons for current position and what teaching strategies would best address it e.g. using monitoring information to analyse individual pupil performance and targeting specific groups of pupils to achieve targets

Example 2: Science Curriculum Co-ordinator, Primary School.

Professional Development Objective:

- To strengthen my leadership and management skills in the area of strategic planning and use these to help this year's School Development Planning.

The teacher might investigate strategic planning by a local business; or assist with a project from the SDP with support from a designated mentor in the school management team.

Pupil Progress Objective:

- To provide extension materials for year 6 class so that the able pupils will be equipped and confident to sit the extension paper at KS2 successfully. (We hope that 15% of the class will be able to do so).

Action to take forward this objective might include analysing the topics at KS2 to assess which are suitable to extend this year, research preparatory work on the Internet to find suitable and effective extension material.

Leadership/Management Objective:

- To improve standards of attainment at KS2 in the physical sciences (AT4) from current level of 50%, aiming for improvement to 55-57% by the end of the year.

The teacher and team leader might agree that a good starting point would be to analyse why staff are not confident and plan how to address this. Staff development could be encouraged through team discussions and classroom observations. Progress could be checked through on-going assessments of children's work and discussions with staff.

Example 3: English teacher & Head of Year 8

Professional Development Objective(s):

- To develop expertise in the teaching of drama, with the aim of directing a school production within 2 years' time.
- To increase own knowledge of the range of strategies to combat bullying and where and how to use them effectively.

Putting the first into practice could include investigating training in drama teaching or work-shadowing a producer/director of a school production. The second objective might be realised by finding out more about good practice and taking practical steps to set clear expectations and agree rules for pupil behaviour.

Pupil Progress Objective:

- Aim for most (85%) of the class to be constructing basic essays demonstrating: a) both simple and complex sentence structure; b) correct paragraphing; c) a range of punctuation (including commas and apostrophes) usually used accurately; d) vocabulary choices are imaginative and used precisely, by the end of the year.

Action planning for this objective might include a review of data from feeder schools, analysis of current attainment of pupils, plans for monitoring performance throughout the year and collaborative work with colleagues on introducing new materials.

Leadership/Management Objective:

- To improve the attendance of Year 8 pupils from 85% to 90% during the year.

Support plans might include working alongside the deputy head to review/redesign the curriculum for disaffected pupils and a review of arrangements for monitoring attendance.

Example 4: Mathematics teacher, Secondary school

Professional Development Objective(s):

- To update own teaching strategies in the course of the year to reflect recent approaches in the teaching of mathematics.
- To set up a 'Maths Club' for the start of next academic year.

Ways of updating teaching strategies might include joining a professional association or mentoring a recently qualified colleague. Marking strategies could be improved through work with an examination board. The Internet or other local schools might provide suitable materials and experience about a maths club.

Pupil Progress Objective:

- To maintain the performance at GCSE of own class, even though, from past performance, they are a slightly weaker class than last year's.

The teacher and team leader might agree strategies for achieving this e.g. by reviewing schemes of work/materials and making better use of individual learning plans to encourage progress & ownership of work by pupils. They might discuss how to communicate expectations of good performance to pupils and parents and use of monitoring information to analyse individual pupil performance.

Example 5: History teacher & Deputy Head, Secondary School

Professional Development Objective:

- To identify what aspects of leadership skills need further development to apply for NPQH and aim to apply within 3 years.

Self-assessment against NPQH or assessment materials would identify areas for development that could be developed through work-shadowing or by taking responsibility for aspects of school policy delegated by head teacher.

Pupil Progress Objective:

- To raise achievement of under-achieving ethnic minority groups in own history class by 2 - 3% during the year.

Action might include considering school records with respect to ethnicity (e.g. attainment, behaviour, exclusion, prizes) and use these to inform strategies to use within class. The deputy might plan to discuss at team meetings ways in which colleagues have raised achievement amongst ethnic minorities (monitoring information, individual plans) and look at how these could be adapted for own use.

Leadership/Management Objective:

- To reduce the number of exclusions by 30% in the course of the year.

Action planning would start from an analysis of the current situation to inform new approaches. Need to involve subject co-ordinators and heads of year and plan best ways of informing and engaging parents.

Example 6: Class Teacher, Special school (SLD)

Professional Development Objectives:

- To gain further skills to deliver the Literacy and Numeracy strategies, especially methods of differentiation for own class.
- To gain deeper knowledge of learning strategies for pupils with autism (non-verbal), to aid class teaching.

Action on the first objective might include contact with partner school to look at their methods for the literacy and numeracy strategy and adapt these for use in own school/class. The second could be taken forward by finding out about current learning strategies for pupils with autism and investigating an exchange visit to share good practice.

Pupil Progress Objective:

- By the end of the academic year, 3 out of 6 pupils to be able to recognise lower case letters of the alphabet.

(NB. At the beginning of the year only 2 pupils could recognise any letters)

The teacher could re-evaluate existing strategies to see if they are suitable to be used with this group of children, including targeted small group activities and individual work. Existing procedures for monitoring and reporting pupil progress could be reviewed, with alterations where necessary.

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